



## Procedures and Guidelines

**DIRECTIVE NO.** 500-PG-1310.1.1  
**EFFECTIVE DATE:** May 18, 1999  
**EXPIRATION DATE:** May 18, 2004

**APPROVED BY Signature:** original signed by  
**NAME:** Mitchell R. Brown  
**TITLE:** Asst. Director of AETD for Engr. Support

---

**Responsible Office:** 500/AETD Directorate Office

**Title:** External Customer Agreements

---

### P1. PURPOSE

This procedure defines the process used by the Applied Engineering and Technology Directorate to identify, consider, review, approve and revise the establishment of support requirements and commitments for current or new external customers. This procedure alone is not sufficient to establish a formal arrangement which may be by interagency agreement, Commercial Space Launch Act agreement, or other agreement executed under the authority of the Space Act. Such arrangement must be established in accordance with applicable Government-wide, NASA and GSFC regulations.

### P2. REFERENCE

- a. AETD External Customer Agreement Summary Sheet, April 1999
- b. GPG 1310.1 Customer Commitments and Review
- c. NPG 7100.5, Program and Project Logistics Policy
- d. NPG 7120.5A, NASA Program and Project Management Processes and Requirements
- e. NPD 1050.1F, Authority to enter into Space Act Agreements
- f. NPG 1050.1F, Space Act Agreements Manual
- g. NASA Strategic Management Handbook
- h. GSFC Strategic Plan

### P3. SCOPE

This procedure is applicable to customer agreements for both new and continuing products and services covered by the GSFC Quality Management System. This process focuses on how AETD will respond to customers seeking our products and services that are estimated to fall below the Center's New Business Committee Process threshold in terms of overall cost and manpower required. This process does not apply to agreements that require less than 0.5 Civil Service FTE and/or \$50K of costs. Additionally, this procedure does not address the process of intra-Center arrangements to support commitments to GSFC customers. Intra-Center arrangements are developed using administrative procedures.

### P4. DEFINITIONS

- a. Customer – The recipient of a product provided by GSFC. For purposes of the QMS, the customer is assumed to be external to GSFC.
- b. Initiator/ Point of Contact – The AETD employee who advocates and supports a customer's request for a product or service.

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

## P5. RECORDS

The AETD Business Management Office will maintain copies of the AETD External Customer Agreement summary sheets for approved and pending agreements and an overall listing of approved and pending agreements. Once agreements are completed or the decision is made to no longer pursue an agreement, the associated record will be deleted.

## P8. IMPLEMENTATION

### 8.1 Initiation of Commitment

This process begins when a potential customer contacts the AETD with a request for a product or services. AETD customers usually come from the NASA enterprises, other agencies, other NASA Centers, academia, and industry. Quite often, the customer knows through past contact and experience the particular part of the organization that can best meet their needs. If this is the case, that particular organizational element assigns a point of contact and notifies the AETD Business Management Office (BMO) of the potential customer agreement. If the customer is not familiar with the organization, the point of entry is through the BMO. The BMO will refer the customer to the appropriate AETD organizational element and establish the point of contact. The BMO will maintain a list of all proposals and agreements initiated by the Directorate beginning May 1, 1999.

### 8.2 Task Definition

The designated AETD point of contact will prepare a commitment definition of sufficient detail to facilitate a Directorate-level disposition. As a minimum, this includes an appropriate evaluation of the proposed agreement and documentation that outlines the resources estimate, funding source, implementation responsibility, and relationship to the strategic plans for the Directorate, GSFC and NASA. It is important to note that in evaluating the proposed agreement, it is the initiator's responsibility to ensure that proper arrangements have been made for protection of intellectual property and proprietary or otherwise sensitive data, risks to the government are minimized, managerial and technical interfaces are clearly defined, potential coordination/conflict with other GSFC led studies is understood and highlighted, and sufficient coordination has occurred with other GSFC Directorates if their resources are a part of the agreement.

The evaluation and supporting documentation will be used to verify that the potential cost is below the threshold defined by the Center for Directorate level management. If the cost is above this threshold, the customer agreement must be worked through the Center's New Business Process (GPG 1310.1). If the evaluation shows the initiative to be within the purview of the Directorate, the initiator will route all documentation for the external agreement through the appropriate channels designated on the AETD Customer Agreement Summary Sheet, dated April 1999. The detailed estimate and evaluation will then be reviewed based on the cost and FTE threshold outlined in the approval section of the Summary Sheet.

### 8.3 Directorate Review and Disposition

At a minimum, proposed agreements will be evaluated based on the Directorate's strategic interests and alignment with resource allocation priorities. A decision will then be made to continue or to terminate the process. In either case, the customer will be notified.

On a quarterly basis, senior staff will review the disposition of all proposals and agreements to understand the depth and breadth of established and pending commitments, their resource requirements, and the Directorate's overall available resources as a basis for evaluating proposed work and subsequently committing the Directorate to new work..

### 8.4 Final Documentation

If the proposed customer agreement is approved, the appropriate final documentation is prepared. In the case of a non-government entity, this involves the preparation of a Commercial Space Act Agreement. If the requested services are for another Government agency, the customer agreement is documented by Memorandum of Agreement or equivalent. In either case, the documented agreement will include a GSFC Waiver of Liability Agreement. The point of contact will work closely with the customer to ensure that the preparation of the final documentation accurately reflects the customer's requirements and GSFC's commitment to meeting them. The documentation is then reviewed and approved in most instances by the CFO, Office of Chief Counsel, and the Center Director.

### 8.5 Revisions and Corrections

Revisions and corrections to the customer requirement and the scope of AETD support to meet them may be identified through the review, negotiation and evaluation process. Only when a revision or correction exceeds the original FTE and funding estimates by 25%, will a revised agreement be resubmitted through AETD's approval process using the AETD Customer Agreement Summary Sheet. However, if revisions or corrections exceed any criteria specifically established and outlined in the original agreement, concurrence will be required by the CFO, Chief Counsel, the Center Director and the customer.

### 8.6 Reimbursement

The customer provides funding, if required by the customer agreement. Government customers will use the Military Interdepartmental Purchase Request (MIPR) as the funding vehicle. A MIPR may be the sole documentation used to finalize the customer agreement if appropriate. In these cases, GSFC's CFO establishes 506 authority for the initiative based on the MIPR. Commercial customers will forward a check at which time, the CFO will request 506 authority from NASA Headquarters. Once this authority is received, work may begin.

**DIRECTIVE NO.:** 500-PG-1310.1.1

Page 4 of 8

**EFFECTIVE DATE:** May 18, 1999

**EXPIRATION DATE:** May 18, 2004

**EXTERNAL CUSTOMER AGREEMENT SUMMARY SHEET -- AETD**

\*\*\* May be Competition Sensitive \*\*\*

(For agreements less than the New Business Committee Threshold, <\$5M or 20 FTEs)

Initiator: Code: Ext: Date File # (501 Use)

\*\*\* PLEASE READ INSTRUCTIONS ON REVERSE \*\*\*

**1. Opportunity Type:**

- ☐ NASA Announcement of Opportunity (AO) ☐ Partnership  
Number/Title: \_\_\_\_\_  
☐ NASA Research Announcement (NRA) ☐ Subcontract  
Number/Title: \_\_\_\_\_  
☐ External R&D Opportunity ☐ Other (specify): \_\_\_\_\_  
Number/Title: \_\_\_\_\_  
☐ Request for Facilities Utilization

**2. Agreement Type:**

- ☐ Commitment Letter ☐ MOU/MOA  
☐ Proposal Due Date: \_\_\_\_\_ ☐ Reimbursable  
☐ Space Act Agreement (specify type) \_\_\_\_\_ ☐ Non-Reimbursable  
\_\_\_\_\_ Reimbursable  
\_\_\_\_\_ Non-Reimbursable

**3. Customer Name:**

If applicable, include name/title of Principal Investigator (PI) and/or Co-Investigator (Col):

PI Name/Title: \_\_\_\_\_ Co-I Name/Title: \_\_\_\_\_

**4. Description of Activity:**

4.a. Projected Start Date: \_\_\_\_\_ Projected Completion Date: \_\_\_\_\_

**5. Resources Summary (total for life of agreement; funding in Full Cost \$K):**

**All AETD:** **Other GSFC/NASA:** **Customer:**  
Civil Service FTEs: \_\_\_\_\_ Civil Service FTEs: \_\_\_\_\_ FTEs: \_\_\_\_\_  
Funding (\$K): \_\_\_\_\_ Funding (\$K): \_\_\_\_\_ Funding (\$K): \_\_\_\_\_

**6. Review/Approvals for all Agreements**

- .5 - 1 CS FTE and/or funding \$50-\$99K Branch Head
- 1-5 CS FTE and/or funding \$100-\$500K Branch Head and Center Chief and ACT for Technology Proposals
- 6-19 CS FTE and/or funding > \$500K Branch Head, Center Chief, and Director of AETD, or AETD Chief Technologist for Technology Proposals
- All agreements/proposals Business Management Office, Code 501

**Review/Concurrence**

**Approval**

Chief, Business Management Office Date

Branch Head Date

Center Chief Date

Director of AETD Date

and - for technology proposals:

or - for technology proposals:

Assitant Chief for Technology Date

AETD Chief Technologist Date

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

## **External Customer Agreement Summary Sheet -- AETD Instructions**

### **General Guidance:**

**NOTE:** This summary sheet is AETD-internal only and is required in addition to other GSFC approval/route sheets that may be necessary for specific types of agreements/proposals. This may include NASA Headquarters-sponsored activities that are performed at GSFC as Headquarters' functions (e.g. Solar Terrestrial Probes Program).

Any substantial commitment of NASA resources with external customers should result in a formalized agreement. Approved agreements commit GSFC resources to accomplishing formulation, implementation, or operation of a program/project, use of facilities, or development/transfer of a technology. Considering limited resources, direction set forth in the GSFC strategic plan and overall management direction within AETD, it is vital that all potential agreements with external customers undergo extensive analysis. In assessing an external opportunity, important considerations include, but are not limited to:

- Appropriate arrangements for protection of proprietary or otherwise sensitive technology.
- Availability and use of workforce and funding, goods, services or facilities.
- Non-disclosure of classified material and agreements on trade secrets, or other concerns communicated in confidence.
- Clearly defined managerial and technical interfaces and assessment of potential coordination/conflict with other GSFC led studies.
- Sufficient coordination and collaborative arrangements within AETD, other GSFC Directorates, or other NASA entities if their resources are proposed in the agreement.

### **Instructions:**

1) Check the appropriate box that corresponds with the proposed Opportunity. Definitions of Opportunity Types:

- NASA Announcement of Opportunity (AO): solicits mission concepts for investigative ideas that contribute to broad research objectives.
- NASA Research Announcement (NRA): provides for the submission of research ideas in one or more program areas of interest.
- External Research & Development Opportunity: solicitation by non-NASA organization for technology, investigative, or mission ideas.
- Request for Facilities Utilization: permits private parties to conduct research and development at an AETD facility. Must meet: 1) Activity must be consistent with NASA's mission, and 2) reimbursement is accepted only for those facilities that are developed in-house, are unique to NASA, or generally not available on the commercial market.
- Partnership: collaborative effort between AETD and a private sector partner(s) to stimulate and support new technologies, products, or services via R&D, where both parties derive benefit.
- Subcontract: AETD development of a technology for a primary contractor with a subsequent deliverable to another organization.

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT

<http://gdms.gsfc.nasa.gov/gdms> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

2) Check the appropriate box that corresponds with the proposed Agreement. Definitions of Agreement Types:

- Commitment Letter: serves as a confirmation of terms and level of support to be provided with an external customer for proposed work or partnership.
- Proposal: formal document with outlines the terms and conditions for committing GSFC resources to new business opportunities. In response to AO's, NRA's partnerships, or other research opportunities.
- Space Act Agreement: any agreement concluded under the authority of the NASA Space Act (contracts, leases, cooperative agreements, or other transactions).
- Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA): statement of policy, practice, or intention affecting a matter of concern to both AETD and another entity. Formalized agreement involving requests for facilities or partnerships with an external customer, generally other government agencies. These are reciprocal arrangements involving either work for work or reimbursement for services rendered.
  - Reimbursable Agreement: government receives payment for the goods and services it provides. Permits a public or private entity to use NASA facilities, personnel, expertise, or equipment to advance its interests
  - Non Reimbursable Agreement: government does not receive payment for the goods and services it provides.

***REMINDER: Respect intellectual property. Disclosing NASA technology/data prematurely and without restriction can impact its future protection. Unauthorized disclosure of third party proprietary information can result in criminal violation. (18 U.S.C. 1905).***

- 3) Specify customer name. An external customer can be public (other NASA, Federal, State or local government agencies), private (commercial), universities or non-profit entities. If applicable, include the name(s) of the Principal Investigator and/or Co-Investigator.
- 4) Briefly describe the activity. If a technology proposal, specify the Technology Product Lines to which the proposal is applicable: 1) End-to-End Optical Systems, 2) Advanced Solid State Detectors, 3) Active Laser Sensing, 4) Passive Microwave Sensing, 5) Cryogenics and Thermal Transport, 6) Ultra-Long Duration Balloons, 7) Particle and Field Sensors, 8) New Space System Architectures, 9) Formation Flying & Constellation Management, 10) Nano-Spacecraft Systems, 11) Advanced Automation, 12) Collaborative Intelligent Environment, 13) Precision Deployables & Ultra-stable Electro-Mechanical Systems, 14) Other – specify product line.
- 5) Specify both civil service workforce and funding resources from all sources. These figures should represent the total for the life of the agreement. The initiator is responsible for coordinating all intra/inter-Directorate resources with all appropriate management personnel. The AETD portion should include the aggregate for all Code 500 resources; other GSFC/NASA should include all remaining Goddard Directorate resources as well as those from any NASA installation; Customer should include all other resources (e.g. other government or commercial entities).

- 6) Basis of Approvals/Concurrence. The Branch and Center Chief approvals/concurrence should be consistent with the initiator's organization code. Branch: approves the commitment of branch resources and technical content based in part on a peer review by non-participants.
- Branch: approves the commitment of branch resources and technical content based in part on a peer review by non-participants.
  - Engineering Center Chief and Assistant Chief for Technology: Concurs/approves that agreement/proposal is aligned with GSFC strategic technology interests and resource allocation priorities.
  - Director of AETD and AETD Chief Technologist: Approves/concurs that agreement/proposal is aligned with AETD strategic technology interests and consistent with Directorate resource allocation priorities.
  - Business Management Office Chief: Concurs with the costs and workforce estimates specified in the agreement/proposal.

**References:**

Space Act Agreements: Space Act Agreements Manual – NPG: 1050.1F.

AO's: NHB 8030.6 – Guidelines for Acquisition of Investigations.

Partnerships: How to Enter Into Partnerships, <http://ctoserver.arc.nasa.gov/TechOps/cmpartwant.html>

Reimbursable Agreements:

- 1) <http://cfo.arc.nasa.gov/reimb.htm>
- 2) <http://www.hq.nasa.gov/fmm/9000/9090.pdf>

**DIRECTIVE NO.:** 500-PG-1310.1.1

Page 8 of 8

**EFFECTIVE DATE:** May 18, 1999

**EXPIRATION DATE:** May 18, 2004

### CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	05/18/1999	Initial Release